

LPM Checklist for Complaint Review

Read complaint as you would normally then use this review form to make certain the complaint was investigated properly.

LPA Name: _____ Facility Name: _____ Facility Number: _____

Date Reviewed LPA Checklist (including any "NA"): _____ Date Complaint Received: _____

QUALITY OF DOCUMENTATION			Y/N/NA	Explain "N" or "NA"
LIC 802	1.	Identifies all allegations		
	2.	Complaint codes are correct for each allegation		
	3.	LPA indicated timely pre- and post- investigation contact with complainant		
	4.	Summary reflects all reports or other contacts the LPA identified in 812s		
	5.	LPA's follow-up comments are complete and appropriate		
LIC 812s	6.	Contain evidence of LPA's file review for prior compliance issues		
	7.	Identify witnesses, suspect and/or other related parties, including contact information		
	8.	Provide complete documentation of interview findings		
LIC 9099/9099D	9.	Minimum required elements are included (See "Required Elements of a Complaint Report (LIC 9099/9099D)")		
	10.	The summary presented on the LIC 9099 justifies the finding for each allegation		
	11.	LPA documented allegations with different findings (substantiated, unsubstantiated or unfounded) on separate 9099s		
	12.	Reports are ready for public viewing		
QUALITY OF INVESTIGATION				
13.	LPA/IB investigated all allegations			
14.	LPA/IB gathered all relevant reports / records			
15.	LPA/IB interviewed all witnesses, victims, and/or relevant parties, or documented appropriate reasons for they were not interviewed			
16.	LPA/IB documented enough evidence to justify the finding for every allegation			
17.	LPA/IB took all appropriate steps to complete the investigation			
ADDITIONAL COMPONENTS OF INVESTIGATION COMPLETION				
APPROVAL OR RETURN				
18.	If RETURNING : added notes to FAS and set a deadline for the LPA's follow-up:			
	Date returned:	Reason:	Due date:	
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19.	If APPROVING , date FINAL approval indicated in FAS:			
FOLLOW UP				
20.	Are additional referrals and/or cross reports needed?			
21.	Does complaint raises other issues that warrant elevation to Regional Manager?			
22.	Does facility warrant legal consultation or possible administrative action?			
23.	Is any additional follow-up necessary that is not related to completion of complaint?			